00000540	720 UNITE	D STATES S	ENATE FIN	A ··-·· ;	LOSURE F	REPORT			
	<u> </u>	FOR ANNU	IAL AND TE	ERMINATION	REPORTS				
Last Name		First Name and Middle Ini		Annual Report		Senate Office / Agency in Wi	hich Employed		_
Harkin		Thomas R.		Calendar Year Co	overed by Report:	United States Senat		-	
Senate Office Address (Number, Street, Ci		Senate Office Telephone	Number (include Area C			Prior Office / Agency in White	ch Employed		<u> </u>
Senate Hart #731, Washington		202-224-3254		Termination Date					
AFTER READING T	HE INSTRUCT	TIONS - ANSW	ER EACH C	F THESE QUE	STIONS AN	ID ATTACH THE	PEI EVAN	IT DART	
			YES NO	1	<u> </u>	D ALIAVII III	- IVEPT AVI		NO
Did any individual or organization paying you for a speech, appeara if Yes, Complete and Attach PAR	ance, or article in the r RT I.	reporting period?		Did you, your spouse reimbursements for to from one source)? If Yes, Complete and	ravel in the report	hild receive any reportab ting period (i.e., worth m	le travel or ore than \$335	YES	
Did you or your spouse have earn investment income of more than \$ reporting period? If Yes, Complete and Attach PAR	\$200 from any reporta RT II.	able source in the	\boxtimes		e, or dependent ch the reporting per	hild have any reportable	liability (more		<u> </u>
Did you, your spouse, or depende more than \$1,000 at the end of the investment income of more than \$ If Yes, Complete & Attach PART [ne period, or receive un \$200 in the reporting p IIIA and/or IIIB.	neamed or period?	\boxtimes	Did you hold any repo current calendar year If Yes, Complete and	r?	on or before the date of f	filing in the		<u></u>
Did you, your spouse, or depende reportable asset worth more than if Yes, Complete and Attach PART	\$1,000 in the reportin	ng period?		Do you have any repo entity? If Yes, Complete and		t or arrangement with ar	outside		
Did you, your spouse, or depende reporting period (i.e., aggregating exempt)? If Yes, Complete and Attach PART	more than \$335 and o	not otherwise		\$5,000 from a single to the si	source in the <u>two</u> Attach PART X.	•	L		
· Each que	estion must b	e answered ar	nd the appro	ppriate PART a	ttached for	each "YES" res	nonse.		
File this report and any an Senate, Washington, DC 2	nendments with 20510. \$200 Pena	the Secretary of alty for filing mor	the Senate, Of	ffice of Public Re	cords, Room	232, Hart Senate C	Office Buildin		
This Financial Disclosure State by the Office of the Secretary of on Ethics. Any individual who keriminal sanctions. (See 5.11.5)	knowingly and willfi	requesting person) upon written app	nlication and udil ha	eardarred brokk a	. Oalask O24.	Do Not Write B	Belgy this Lir	ne Y
Similar cariotoria. (Occ o O.O.	C. app. 4, § 104, ar	na 18 0.5.C. § 1001	11.)			040,001.00 0.1 0	HAY	CRE	
Certification I CERTIFY that the statements I	The state of the s	Signature of Repo	orting Individual	1 H 2m	Date (M	onth, Day, Year)	_		
have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Con	c Ha			5/1	16/11	16 PHIZ: 39	ECEIVED	
	Fc	or Official Use Only - Do	o Not Write Below 1	This Line			ं हैं	3. C.	
It is the Opinion of the reviewer that the statements made in this form are in compliance with Title I of the Ethics in Government Act		Signature of Revi			Date (Mo	onth, Day, Year)	39	E A	

Reporting Industrial ENAMED 54072	1
Thomas R. Harkin	

PART II. EARNED AND INCINVESTMENT INCOME

Page Number

Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

Individuals not covered by the Honoraria Ban:

For you and /or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

	Name of Income Source	Address (City, State)	Type of Income	Amount
xample:	JP Computers	Wash., DC Example	Salary Example	\$15,000
	MCI (Spouse)	Arlington, VA Example	Salary Example	Over \$1,000
Conoc	coPhillips (Spouse)	Houston, TX	Salary (includes	Over \$1,000
			contractual right to	
			receive stock in	·
			the future)	
United	d Technologies Corp. (Spouse)	Washington, DC	Salary and pension	Over \$1,000
			(salary includes	
			contractual right to	
			purchase stock in	
			the future)	
Abitibie	Bowater, Inc. (Spouse)	Montreal, Canada	Salary (includes	Over \$1,000
			contractual right to	
			receive stock in	
			the future)	

Reporting Indendual & Name	54072	2
Thomas P. Harkin		

PART II. EARNED AND MUN-INVESTMENT INCOME

Page Number

3

Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. — For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

Individuals not covered by the Honoraria Ban:

For you and /or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

	Name of Income Source	Address (City, State)	Type of Income	Amount
Exampl	JP Computers	Wash., DC Example	Salary Example	\$15,000
<u> </u>	MCI (Spouse)	Arlington, VA Example	Salary Example	Over \$1,000
1 Nat	ional Toll Road (Spouse)	Dublin, Ireland	Salary (includes	\$1,000
2	·		contractual right to	
3			receive stock in	
4		·	the future)	
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Reporting Individuals the O	5	40	7	2	3
Thomas R Harkin			-		

PART IIIA. PUBLICLY TRADEL AUGLIG AND UNEARNED INCOME SOURCES

Page Number

4

F	An Report t	d Un he co	of Publicly Traded Assets earned Income Sources omplete name of each publicly			A	t the If No	luat close ne, o	ion of o	of a	Ass rting an \$1	perio	od.	٠	,	_		Non	e (or	less inc	thar	• \$20 s inc)1)° i	s Checke	d A	mo	u nt er en	of l	s nee	eded	in 8	lock indi	- C fo	r tha al.	t iten	n. This
V	(2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan. Example: DC, or J. (S) Keystone Fund A Mount of the reporting period. (100 000 52 % 100 000																																			
(// ii	conte instruction (1) has clos (2) ges inco nclude dentifica und, pul excepted accounts rusts, as	ons) from the control on the control	OF REPORTS Part B of for production of income or hich: alue exceeding \$1,000 at the he reporting period; and/or ed over \$200 in "unearned" uring the reporting period. Is PART IIIA a complete of each public bond, mutual traded partnership interest, estment funds, bank cepted and qualified blind iblicly traded assets of a	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 — \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund .	Excepted Trust	Qualified Blind Trust	(Specify	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000**	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
Ε		DC. L		╀		<u> </u>	х									_	X							Example		X										Example
_		J OL J Ì	(S) Keystone Fund	╄	٠.	┡		×		_			_	_	_	_	Ш				X	_		Example	×											Example
1	J	Amg	gen		×											×									×											
2	J	BP	PLC Spons ADR		×												×								×									П		
3	J	Berl	shire Hathaway Inc. Class B		×											×									×									\Box		
4	J	Cisc	co Sys, Inc.		×				Ī							×				·					×										1	
5	J	Dell	, Inc.		×				T							×									┪		7							7	十	
6	J	Hom	ne Depot, Inc.		×				Ī								×	T					-		×		1								寸	
7	J.	Intel	, Inc.		×								寸		7		×					7			×	7		7	7	7				\exists	十	
В	J	Johr	nson and Johnson				×	\sqcap									×	\exists				1	1		7	1	7	×	7	7					寸	<u>.</u>
9	J	Micr	osoft		×				1	7		7	7	7	╣		×	1		1	寸	7	7		×	1	1	1	7	7	7	7	7	\dashv	寸	
0	7	Peps	sico, Inc.		×					7		┪	1	1			×					1	\dashv		×	寸		寸	7				7	\dashv	十	
ΞX	(EMPTION This cate	N TEST gory a	(see instructions before marking box): I oplies only if the asset is/was held indepe	f you ender	omiti ntiy b	ted a	ny as spot	iset b	ecau dep	ise it ende	mee	ts th	e thre	e pa	nt te: et is/	st fo was	r exe eithe	nptic r hel	on de	scrib the fi	ed in iler o	the joint	instn tiy he	uctions, pla	ase othe	chec	k bo tegoi	to t	he riç of val	ght, ue, a	s api	ргорі	iate.			

Reporting Individual's Name 3 5 4 Thomas R. Harkin	19724	P/	AR'	T ti	IA.	P	UE	3LI	CI	LY	TF	RS	– DE	:D	A\$	SE	ETS	S A	NE) U	NE	EARN	ED	IN	CC	M	E S	SO	UR	CE	ES		Pag	ge Number
BLOCK A. Identity of Publicly Tra And Unearned Incom Report the complete name traded asset held by you, y your dependent child, (See	ne Sources of each publicly our spouse, or		,	At	Val the of Non Ch	uati :lose	of re	of A	Ass ing n \$1	perio	od.				lf -		-	inc	thar	s ind	01)" i	Type and is Checke is received	d A	oth	unt er en	of l	s nee bene	eded efit o	in 8	indi	vidua	al. 	t iten	
CONTENTS OF REPORTS Instructions) for production investment which: (1) had a value exceeding close of the reporting p (2) generated over \$200 income during the repo Include on this PART IIIA a identification of each public fund, publicly traded partne excepted investment funds, accounts, excepted and qua trusts, and publicly traded a retirement plan.	S Part B of of income or g \$1,000 at the eriod; and/or in "unearned" rting period. complete bond, mutual rship interest, bank alified blind assets of a	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
S. IBM Corp. (S) Keystone F					X	x	1			4					X							Example	- 1	X										Example
1 J Procter & Gamble			×			Î	十	+	1	7				┝	×				X			Example	X	×			Н				\dashv			Example
2 J Walt Disney			×			\top	+	+	+	1	\dashv			H	×								×	-			\vdash			\dashv	\dashv	\dashv	-	
3 J Citibank NA Bank I	Deposit Program	Н	×		+	\dashv	+	\dagger	\dagger	+	1	7	\dashv	\vdash	H	•	×				\dashv		×				H		\exists	\dashv	\dashv	-	_	
4 J Western Asset Money N	Narket Fund Class A	Н	×			+	\dagger	+	┪	+	1	┪	\dashv		×	\neg							×							\dashv	\dashv	\dashv	\dashv	•
5 J Citibank NA South Dakota	Bank Deposit Program		×		寸	\dagger	1	1	1	7		┪	1			\dashv	×	\exists		\dashv			×		7			-		\dashv	+	\dashv	ᅱ	
6 Citibank NA Bank Dep	osit Program (IRA)		×		1	\dagger	+	十	+	\dashv		1	┪				×	7		\dashv			x	\dashv	┪					\dashv		\dashv	1	
7 Fidelity Advisor Mid	icap Fund		×			1	†	†	1	1	1	7	٦	П		1		T	×	\exists	7	•	×	T	7			\dashv		1	+	1	1	
8 Fidelity Advisor Ove	erseas Fund		×	٦		1		1	1	1	1					7			×		\exists		×	\exists	1			T	1	7	7	1	7	
9 Principal Financial (Group		×			1	T	1	1	1	1	1			x		7	┪	1	┪	\dashv		×		7	1	\dashv	┪	7	1	1	1	1	
10 S ConocoPhillips Cor	р.						7	×	1	1	1				×			×							1	\dashv	寸	7	7	×	7	7	1	
EXEMPTION TEST (see instructions and This category applies only if the as	before marking box): It set is/was held indepe	f you enden	omitte	ed ar	ny ass spou	et be	caus depe	e it r	mee!	is the	e thre	e-pa	ert te	st fo	r exe eithe	mption	on de d by	scrib the f	ed in	n the r join	instr	uctions, pi	ease e oth	chec er ca	k bo:	x to t	the rig	ght. ue. a	s an	oroni	iate.			

Thomas R. Harkin	P	AR	T I	lΙΑ	.	PU	BL	.IC	LY	' TI	RA	DI	ED	A	SS	ΕT	S	AN	D	UN	EARN	ED) IN	IC		IE .	SC	U		ES	;	P/	ege Number
BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources Report the complete name of each publicly			A	t the If No	_	BLO tion e of	CK of repo	B Ass rting an S	peri	od.				•.	•		or tes	ss th	an \$	201)	Type and is Checken in received	End A	LO:	CK (C t of	inc	om	e d in F	Block	, C %	or the	- at ite	6 m. This
traded asset held by you, your spouse, or your dependent child, (See p.3,	L	_	_	_	_								JL			Ty	pe (of li	100	me						Ar	nol	ınt d	of la	nco	me		*
CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
S, IBM Corp. (stock)				х									┢	×	┢	十	+	十	十	╁	Example		x		-	Ë				H	H		Example
or J (S) Keystone Fund		<u> </u>	Ш		X													X	T	1	Example	x			<u> </u>	-		H	Н		┢┯	┢═	Example
1 S 1st Century Bancshares, Inc.			Ш		×								×			Π						×								Г			
2 S United Technologies Corp.								×						×													×	П		М			
S Principal Financial			×										Γ	×			Γ		T					×				$ \cdot $		-	H	H	
S Xcel Corp.		×				T								×			T	Γ				×		\neg									
S Citibank NA S. Dakota Bank Dep. Program			×		1	7	1		1	7	7		Г		-	×	-	T	\vdash			×		7			_			\dashv			
S Western Asset Inst. Muni. Mkt. Fund					×	7	7	1	7	T	7			П				×	\vdash	Н		H	×	\dashv	\dashv	-	٦	\dashv	┥		\dashv	\dashv	
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XEMPTION TEST (see instructions before marking box): If the asset Is/was held independent	you (omitte	ed an	y ass	set be	caus	e it i	meet	s the	thre	e-02	nt te	st fo	E AYA	mnf		المارية	hod 2	n fibr	inst-	uctions of		_			_						_	
* This category applies only if the asset IsAwas held indepen	rden	dy by	the s	роц	se or	depe	nde	nt ch	ild. I	f the	asse	et is/	was	eithe	r he	ld by	the	filer c	r joi	ntiy he	eld, use the	othe	r cal	egor	ies d	ne ne f vali	JOL 18, a	s apı	ropr	iate.			

Reporting Individual's Name	F	PAR	RT I	IIA	ا . . ا	PU	BL	.IC	LY	TF	R.S	DE	D	AS	SE	ETS	5 A	NE	ΣL	INI	EARN	ED	IN	CC	M	ES	80	UF	(CI	ES		Paç	ge Number 7
Identity of Publicly Traded Assets And Unearned Income Sources				At the	luai dos	e of	of repo	Ass	peri	od.	•			ır.	Non	e (or	less	tha	n \$2	01)*	Type an	d A d, no	othe	u nt er en	of i	s nee	eded	in B	ilock	C fo	or tha	nt iter	m. This
Report the complete name of each public traded asset held by you, your spouse, or	cly r				ne, d heck					١,			L				in	clude f In	es in	com	e received	or a	CCTU	ed to	the	bene	efit o	f the	indi	ividua	al.		·
your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.	e	S1 001 - \$15 000	\$15.001 - \$50.000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund		Frust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000		\$50,001 - \$100,000	000	Over \$1,000,000***	0000	Over \$5,000,000	Actual Amount Required if "Other" Specified
S, IBM Carp. (stock)				X										X							Example		х							Г		\sqcap	Example
or J (S) Keystone Fund		\perp			х													X			Example	Х											Example
1 S LPL Cash, insured Cash Account					×											×						×								\Box			
2 S Central Fund of Canada Ltd. CL A C	EF		×						•				·					×				×								П	П	П	
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5 S Ishares Aggregate Bond Fund				×					·									×							×				П	П			
6 S Ishares Tr. S&P Sm. Cap 600 Value Indi	эх	T	T	×														×					×						П		П	П	
7 S Ishares S&P Sm. Cap 600 Growth Ind	lex		1	×									_					×					×						П	П	П		
8 S Ishares Trust Barclay's TIPS			×											П				×			-			×					П		П		
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EXEMPTION TEST (see instructions before marking bears This category applies only if the asset is was held in	ox): If y	ou om	itled by th	any a	sset	beca	use i	it me	ets ti	e thr	ee-p	art te	est fo	otthe	mpti	ion d	escri	bed i	n the	inst	ructions, pl	ease	chec	k bo	x to	the ri	ght.						

Repor	ling li	ndividual's Name 0 5 4 0 7 2 7												_																					
Tho	mas	R. Harkin	F	PAF	RT	Alli	١.	PL	JBI	LIC	LY	T	RA	DE	ΞD	AS	35	ET:	S A	ANI	DΙ	UNI	EARN	ED	IN	C	MC	E	SO	UF	₹C[ES	i	Pa	gs Number .
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trade	ed a	he complete name of each public esset held by you, your spouse, o	ly r			If No	one, iheci	or le the	ss th first	colni su 2	1,00 mn.	1,			L				- 4		53 11	ICOM	e received	or a	ссти	ed to	the	ben	efit c	of the	indi	vidu	al.	il ilçi	
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•		or J (S) Keystone Fund	ļ	_		_	X	4	4	_										Х			Example	X											Example
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EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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t	And Report to raded a	ntity of Publicly Traded Assets ad Unearned Income Sources the complete name of each publicasset held by you, your spouse, or	cly	-	_ A	t the If No	luat clos	BLO tion e of a or les the f	of a	Ass ting ın \$1	ets perio	od.			•	- 16 1		e (or Typ	in	clude	es in	01)" come	Type an is Checke received	d A d, no	othe	u nt er en	of I try is the	nee bene	ded efit o	in Bl f the	indiv	vidua	al. ——	t iten	n. This
У	our dep	pendent child, (See p.3,	` -	—	1	1.			_	-				\vdash	L	_	_	ı yp	e o	T IN	CON	ne 1			_			Am	oui	It o	t in	con	ne	_	
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E	xample: I	S. IBM Corp. (stock)		I		x									٠	х							Example		X										Example
		or J (S) Keystone Fund	_	╄	╄-		Х				_	_								х			Example	Х											Example
1	s	Buffalo Fds Mid Cap FD		L			×								×									×											
2	s	Capital Income Builder					×													×								×						\Box	
3	s	Capital World Growth and Income C	LF				×							l						×							×				П				
4	s	Growth Fund America INC CL F					×													×						×				寸	T			7	
5	s	Harbor Small Cap Value Fund		Γ		K														×				×						T	丁		1	寸	
5	s	Harbor Cap Appreciation Fund					×													×					×	1				寸	寸	寸	7	寸	-
7	s	Harris Assoc Invt Oakmark Fund		Π		×														×					×	1				寸	寸	\dashv	丁	\exists	
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Thomas R. Harkin

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Type of Income

Page Number

11

BLOCK A
Identity of Publicly Traded Assets
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p. 3, CONTENTS OF REPORTS Part B of

BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001, Check the first column.

BLOCK C Type and Amount of Income

if "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

Amount of Income

i i f	investn (1) h; clo (2) go inc include dentific und, po excepte	nent ad a se of enera onne on teation ubliched inverte, example and part an	value exceeding \$1,000 at the fine reporting period; and/or ated over \$200 in "unearned" during the reporting period. his PART IIIA a complete of each public bond, mutually traded partnership interest, westment funds, bank excepted and qualified blind publicly traded assets of a	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
E	xample	S, : DC,	IBM Corp. (stock)				X										X							Example		х								П		Example
		or J	(S) Keystone Fund				<u> </u>	X													X			Example	X					一				\sqcap		Example
1	s	PI	MCO Total Return Fund					×			ļ										×	T							×							
2	s	PI	MCO FD PAC Invt Mgmt Ser. High Yid				×						П								×		1				7		×		7	1		\exists		
3	s	Ryde Rota	xx Ser, Fds All Cap Opportunity (formerly Rydex Sector tion) Cl. H					×								×						\top			×	7	1			7	1	7	\exists			
4	s	Var	iguard Fixed Income Intermed. Term Treas.			×															×	1	1				7	×	7	7		7		\exists	1	
5	s	Va	nguard Precious Metals and Mining				×											7		1	×	1	1			1	7	×	7	7	7			\exists	1	
6	s	LP	L Cash, Money Market funds (IRA)		×														×	1	1	1	1		×	7	7	7	7	7	1	7	1	寸	1	$\neg \neg$
7	s	Cer	ntral Fund of Canada Itd. CL A CEF (IRA)		×								一						1		×		1		×	7	1	1	7	7	7	\dashv	7	\dashv	7	
8	s] ish:	are Tr. Cohen & Steers Realty (IRA)		×						7			1			1	7	寸	7	×	T	1		×	7	7	T	\dagger	7	7	寸	7	寸	1	
9	s	Isha	re Tr. Dow Jones US Energy Index (IRA)		×						Ť						1		7	1	×	十	†		×	†	7	1	+	7	\top	\dashv	\dashv	7	+	
10	s	SPI	DR Series Large Cap Growth (IRA)			×			7		1	1		7		7	1	1	1	7	×	\dagger	†		×	\dagger	十	+	†	+	\top	+	1	+	\dashv	
E	EMPTIO	N TE	ST (see instructions before madine bout II		! **											_		_		_								<u>L</u>		_		_	_Ļ	_		

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right, *** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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tr	An Report t traded a	BLOCK A ntity of Publicly Traded Assets nd Unearned Income Sources the complete name of each publicly asset held by you, your spouse, or	, T		At	At the c	aluat close one, o	tion se of a or les	repor	Ass	g perio	riod. 01,	•			lf			(D)	ss that	des in	201)" i ncome	Type and is Checker received	nd Ai	\mo o othe	her en	t of l	is nec e ben	eeded nefit o	d in B	ibni e	lividua	uai.		
In idea to	CONTEI Instructii Investme (1) hae close (2) gee inco Include clidentificate fund, pul excepted accounts trusts, ar	ependent child, (See p.3, ENTS OF REPORTS Part B of tions) for production of income or ment which: ad a value exceeding \$1,000 at the se of the reporting period; and/or enerated over \$200 in "unearned" ome during the reporting period. I on this PART IIIA a complete eation of each public bond, mutual ablicly traded partnership interest, ed investment funds, bank ts, excepted and qualified blind and publicly traded assets of a ent plan.	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends		st	Sains	ment Fund		Tust	Other (Specify Type)	ığı	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	0	0		000		0000		Actual Amount Required if "Other" Specified
Ĕ:	xample: I	S, IBM Corp. (stock)				X	-							口	厂	х							Example		х				<u></u>	1			+		Example
•		or J (S) Keystone Fund	—	 	\perp	لسل	×		للْه	لآ		ل		\Box'		$\int \int f'$	匚'	\prod'		×			Example	х											Example
! -	s	Alliance Bernstein Intnl. Value Fund (IRA)	<u></u>	×	1_1				[]	11	iJ	iJ	\tilde{U}^{\prime}	[]	('	[]	$\bar{\Gamma}'$	[]	[]	×				×											
2	s	American Beacon Large Cap Value Fund (IRA)			×		\prod		П	\prod	П	\prod	\Box	\Box			\Box	\Box		×				口	×	一	\Box	H	Γ		\sqcap	\Box	H		
ا <u>.</u>	s	American High Inc. TR. CL F (IRA)			×			\prod	\prod	\prod	\prod	\prod	\Box	\prod		\Box	\Box			×	\bigcap			一	\sqcap	×	\Box	\sqcap			\bigcap	\bigcap		\Box	
	s	Artisan Small Cap Fund (IRA)		×									\prod		×		\Box			П	\bigcap	\prod	1	×	\prod	\sqcap	1	\Box			\bigcap			\Box	
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EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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Rydex Ser. Fds. AS Cap Opportunity (formerly Sector Rotation) CL H (IRA)

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EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Reporting	Individual	600	540	7	36
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Thomas R. Harkin

PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

17

BLOCK A Identity of Non-Publicly Traded Assets and Unearned Income Sources		_			uati	on		\ss			-			-	•	-	•			- 1	Гуре́ an			K C		ince	ome		į	-	•		~
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the trade or business. Publicly traded	ě	짉	8	긼	읽	읽	읽	Š	8	8	8	69	ہِ ا	. ē	Ļ	es es	ita	į	튫	E) e (c	1-1	٥	힏	2	è	8	Ŏ,	\$	8	85	
assets held by non-public entity may be listed on Part IIIA.	None (or less than	\$1,001 - \$15,000	\$15,001	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust		None (or less	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over	
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EXEMPTION TEST (see instructions before marking box): If you "This category applies only if the asset is/was held independ	ou or dently	nitted by t	d any he sp	asse	et bed e or d	aus epei	e it m	neets t chi	s the	thre f the	e-pa	irt tes	t for	r exen	nptio hek	n de:	scrib he fi	ed in	the i	nstru Iv hel	ctions, plea	ase c	heck cat	box	to th	e rig	ht.	app.	ropri	ate.			egthankowskip

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Thomas R. Harkin

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Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.				Transaction Type (x)			-											
				Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	\$1,001 - \$15,000	5,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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ı	Example	e: DC,	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	X		ļ	2/1/1X		X			Ε	Х	Α	M	Ρ	ᆚ	E
1	c	or J			X		1/27/1X				X	E	X	Α	M	Р	ᆜ	Е
\dashv		Ishares Dow Jones Select			X		2/18/10		X									
2	s	Vanguard (Spec. Port.) Dividend Appreciation		X			2/18, 8/19 and 11/17/10				X					\neg		
3	s	Arlington Cnty VA Public Improvement B/E [redeemed]			X		5/17/10			×						7	一	-
4	s	James City Cty VA Econ Dvlpmt [redeemed]			×		6/15/10			×							\exists	_
5	s	Hancock John Cap Ser. CLassic Value CL A			×		8/19/10			×						7	\exists	
6	S	Buffalo Fds Mid Cap FD		X			8/19 and 11/17/10				×					7	\dashv	
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XEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.